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JC904 U.S. PTO

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PTO/SB/05 (03-01)  
Approved for use through 10/31/2002. OMB 0651-0032  
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.

Kreiser 1094-KGB

First Inventor

Prof. Dr. Gert Hobom et al

Title

SEE APPENDIX

Express Mail Label No.

EV 015944205 US

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO:

Assistant Commissioner for Patents  
Box Patent Application  
Washington, D.C. 20231

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original, and a duplicate for fee processing)
  2. ☒ Applicant claims small entity status.  
See 37 CFR 1.27.
  3. ☒ Specification [Total Pages (preferred arrangement set forth below)
    - Descriptive title of the invention
    - Cross Reference to Related Applications
    - Statement Regarding Fed sponsored R & D
    - Reference to sequence listing, a table, or a computer program listing appendix
    - Background of the Invention
    - Brief Summary of the Invention
    - Brief Description of the Drawings (if filed)
    - Detailed Description
    - Claim(s)
    - Abstract of the Disclosure
  4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets   - 5. Oath or Declaration [Total Pages   - a. ☐ Newly executed (original or copy)
  - b. ☐ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 18 completed)
    - i. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a. ☒ Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies or
    - ii. ☐ paper
  - c. ☒ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney  
(when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☒ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☒ Other:

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_ / \_\_\_\_\_

Prior application information: Examiner \_\_\_\_\_

Group / Art Unit: \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label

27384

or ☐ Correspondence address below

(Insert Customer No. or Attach bar code label here)

Name

Address

City

State

Zip Code

Country

Telephone

Fax

Name (Print/Type)

Kurt G. Briscoe

Registration No. (Attorney/Agent)

33,141

Signature

Date

2-8-2002

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Express Mail Label No. EVO15944205 US  
Date Mailed: February 8, 2002

PTO/SB/17 (11-01)  
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# FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

☒ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT

\$658.00

## Complete if Known

Application Number	To Be Assigned
Filing Date	Herewith
First Named Inventor	Gert HOBOM et al
Examiner Name	To Be Assigned
Group Art Unit	To Be Assigned
Attorney Docket No.	100725-14 / Kreisler 1094-KGB

## METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

☒ Deposit Account:

Deposit  
Account  
Number

14-1263

Deposit  
Account  
Name

Norris McLaughlin & Marcus

The Commissioner is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☐ Credit any overpayments  
☐ Charge any additional fee(s) during the pendency of this application  
☐ Charge fee(s) indicated below, except for the filing fee to the above identified deposit account.

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity	Small Entity	Fee Description	Fee Paid
Fee Code (\$)	Fee Code (\$)		
101 740	201 370	Utility filing fee	370.00
106 330	206 165	Design filing fee	
107 510	207 255	Plant filing fee	
108 740	208 370	Reissue filing fee	
114 160	214 80	Provisional filing fee	
SUBTOTAL (1)			\$370.00

### 2. EXTRA CLAIM FEES FOR UTILITY AND

Extra Claims		Fee from below	Fee Paid
Total Claims	52 -20** = 32	X 9.00 =	288.00
Independent Claims	1 -3** = 0	X 42.00 =	0.00
Multiple Dependent			

Large Entity	Small Entity	Fee Description
Fee Code (\$)	Fee Code (\$)	
103 18	203 9	Claims in excess of 20
102 84	202 42	Independent claims in excess of 3
104 280	204 140	Multiple dependent claim, if not paid
109 84	209 42	** Reissue independent claims over original patent
110 18	210 9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) \$288.00

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity	Small Entity	Fee Description	Fee Paid
Fee Code (\$)	Fee Code (\$)		
105 130	205 65	Surcharge - late filing fee or oath	
127 50	227 25	Surcharge - late provisional filing fee or cover sheet	
139 130	139 130	Non - English specification	
147 2,520	147 2,520	For filing a request for ex parte reexamination	
112 920*	112 920*	Requesting publication of SIR prior to Examiner action	
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action	
115 110	215 55	Extension for reply within first month	
116 400	216 200	Extension for reply within second month	
117 920	217 460	Extension for reply within third month	
118 1,440	218 720	Extension for reply within fourth month	
128 1,960	228 980	Extension for reply within fifth month	
119 320	219 160	Notice of Appeal	
120 320	220 160	Filing a brief in support of an appeal	
121 280	221 140	Request for oral hearing	
138 1,510	138 1,510	Petition to institute a public use proceeding	
140 110	240 55	Petition to revive - unavoidable	
141 1,280	241 640	Petition to revive - unintentional	
142 1,280	242 640	Utility issue fee (or reissue)	
143 460	243 230	Design issue fee	
144 620	244 310	Plant issue fee	
122 130	122 130	Petitions to the Commissioner	
123 50	123 50	Processing fee under 37 CFR § 1.17(q)	
126 180	126 180	Submission of Information Disclosure Statement	
581 40	581 40	Recording each patent assignment per property (times number of properties)	
146 740	246 370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149 740	249 370	For each additional invention to be examined (37 CFR § 1.129(b))	
179 740	279 370	Request for Continued Examination (RCE)	
169 900	169 900	Request for expedited examination of a design application	

Other fee (specify)

Reduced by Basic Filing Fee Paid

SUBTOTAL (3) \$0.00

## SUBMITTED BY

Name (Print/Type)	Kurt G. Briscoe	Registration No. (Attorney/Agent)	33,141	Telephone	(212) 808-0700
Signature		Date	February 8, 2002		

WARNING: Information on this form may be made public. Credit card information should not be included on this form. Provide credit card information and authorization on

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Express Mail Label No.: EV 015944205 US  
Date of Deposit: February 8, 2002

Kreisler 1094-KGB  
010293us/JH/ml

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANTS : Gert HOBOM et al  
SERIAL NO. : To Be Assigned  
FILED : Herewith  
FOR : INFLUENZA VIRUSES WITH ENHANCED  
TRANSCRIPTIONAL AND REPLICATIONAL CAPACITIES  
ART UNIT : To Be Assigned  
EXAMINER : To Be Assigned

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February 8, 2002

Hon. Commissioner of Patents  
Washington, D.C. 20231

**STATEMENT REGARDING THE SEQUENCE LISTING**

SIR:

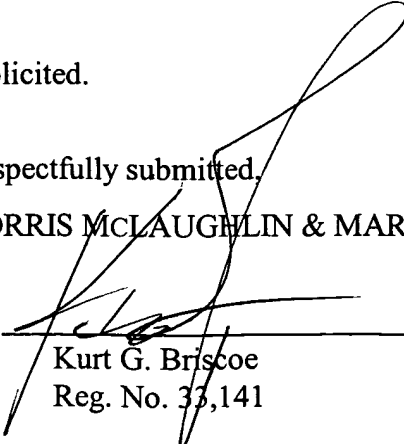
Attached is a computer diskette containing a computer readable form of the paper Sequence Listing embedded in the specification. The undersigned hereby certifies that the paper Sequence Listing does not introduce new matter, and that the content of the paper Sequence Listing and the computer readable form copy is the same and includes no new matter.

Early and favorable action is earnestly solicited.

Respectfully submitted,

NORRIS McLAUGHLIN & MARCUS, P.A.

By

  
Kurt G. Briscoe  
Reg. No. 33,141

20020208-20020208

APPLICANT: Gert HOBOM et al

TITLE: INFLUENZA VIRUSES WITH ENHANCED TRANSCRIPTIONAL AND  
REPLICATIONAL CAPACITIES

PROVISIONAL APPLICATION NO. 60/270,135

**EXPRESS MAIL CERTIFICATE**

“Express Mail” mailing label number EV 015944205 US

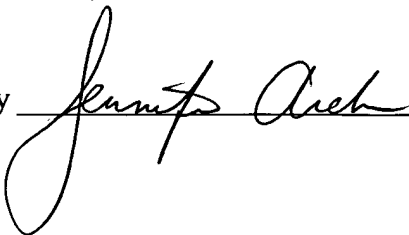
Date of Deposit February 8, 2002

I hereby certify that the following items:

1. Utility Patent Application Transmittal
2. Appendix
3. Fee Transmittal in duplicate - **SMALL ENTITY - CHARGE DEPOSIT ACCOUNT**
4. Specification consisting of Description (pages 1-48); Sequence Listing (pages 49-142); 47 Claims (pages 143-154); Abstract (page 155); 17 Pages of Drawings
5. Preliminary Amendment w/ Mark-up showing changes to the claims
6. Statement Regarding Sequence Listing
7. Return Receipt Postcard

are being deposited with the United States Postal Services “Express Mail Post Office to Addressee” service under 37 CFR 1.10 on the date indicated above and is addressed to the: Hon. Commissioner for Patents, Washington, D.C. 20231, Box Patent Application.

NORRIS, McLAUGHLIN & MARCUS, P.A.

By  \_\_\_\_\_

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**APPENDIX**

**TITLE:** INFLUENZA VIRUSES WITH ENHANCED  
TRANSCRIPTIONAL AND REPLICATIONAL CAPACITIES

**LIST OF INVENTORS:**

1. Prof. Dr. Gert HOBOM  
Unterfeldstr. 13, 79106 Freiburg, Germany  
German Nationality
2. Dr. Annette MENKE  
Schillingstr. 37-39, 50670 Köln, Germany  
German Nationality

**CLAIM TO PRIORITY:**

Priority is hereby claimed under 35 USC 119 on the basis of German Application Serial No. 01103060.8 filed February 9, 2001, and under 35 USC 120 on the basis of US Provisional Application No. 60/270,135, filed on February 20, 2001.

**“Express Mail” Mailing Label No. EV 015944205 US**

Date of Deposit: February 8, 2002

I hereby certify that the items listed on the attached Utility Patent Application Transmittal are being deposited with the United States Postal Service “Express Mail Post Office Addressee” service under 37 CFR 1.10 on the date indicated above and is addressed to the Hon. Commissioner for Patents, Washington, D.C. 20231.

NORRIS, McLAUGHLIN & MARCUS

By: Jennifer Arch